



In Place of FORM PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT**

Serial No.: 10/033,470
Applicants: Richard E. Smalley et al.
Filing Date: December 28, 2001
Group: 1754
Atty. Docket No.: 11321-P012USD9

Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
<u>SJD</u> AAA	5,698,175	12/16/1997	Hiura et al.	423	447.1	
____ ABA						
____ ACA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
____ ADA						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner
Initial

SEA AEA

AJAYAN et al., "Opening carbon nanotubes with oxygen and implications for filing," *Nature*, Volume 362, pp. 522-525 (April 8, 1993).

Examiner:

H. J. Jones

Date Considered:

8/3/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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11321-P012USD9 01/06/2003

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FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes <input type="checkbox"/> No <input type="checkbox"/>
<u>SW</u> ABA	EP 1 176 234 A2	12/05/1993	European	—	—	<input type="checkbox"/>

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial

- SW ACA LI, *et al.*, "Large-Scale Synthesis of Aligned Carbon Nanotubes," *Science*, Volume 274, December 6, 1996, pp. 1701-1703.
- ____ ADA LIU, *et al.*, "Fullerene Pipes," *Science*, Volume 280, May 22, 1998, pp. 1253-1256.
- ____ AEA THESS, *et al.*, "Crystalline Ropes of Metallic Carbon Nanotubes," *Science*, Volume 273, July 26, 1996, pp. 483-487.
- ____ AFA TOHJI, *et al.*, "Purifying single-walled nanotubes," *Nature*, Volume 383, October 24, 1996, pp. 679.
- ____ AGA TOHJI, *et al.*, "Purification Procedure for Single-Walled Nanotubes," *J. Phys. Chem. B.*, Volume 101, No. 11, 1997, pp. 1974-1978.
- ____ AHA AJAYAN, *et al.*, "Nanometre-size tubes of carbon," *Rep. Prog. Phys.*, Volume 60, 1997, pp. 1025-1062.
- ____ AIA FISHBINE, "Carbon Nanotube Alignment and Manipulation Using Electrostatic Fields," *Fullerene Science & Technology*, Volume 4(1), 1996, pp. 87-100.
- ____ AJA AJAYAN, *et al.*, "Aligned Carbon Nanotube Arrays Formed by Cutting a Polymer Resin-Nanotube Composite," *Science*, Volume 265, August 26, 1994, pp. 1212-1214.
- ____ AKA WANG, *et al.*, "Properties of Buckytubes and Derivatives," *Carbon*, Volume 33, No. 7, 1995, pp. 949-958.
- ____ ALA SEN, *et al.*, "Structures and Images of Novel Derivatives of Carbon Nanotubes, Fullerenes and Related New Carbon Forms," *Fullerene Science and Technology*, Volume 5(3), 1997, pp. 489-502.
- ____ AMA DRAVID, *et al.*, "Buckytubes and Derivatives: Their Growth and Implications for Buckyball Formation," *Science*, Volume 259, March 12, 1993, pp. 1601-1604.
- ____ ANA SMALLEY, "From dopyballs to nanowires," *Materials Science and Engineering*, Volume B19, 1993, pp. 1-7.
- ____ AOA CHEN, "Growth and Properties of Carbon Nanotubes," *Thesis for the degree Master of Science, Rice University, Houston, Texas, May 1995.*
- ____ APA RINZLER, *et al.*, "Field Emission and Growth of Fullerene Nanotubes," *Presented at the Fall, 1994 MRS Meeting, November 28, 1994, Boston, submitted for MRS proceedings, Volume 359.*
- ____ AQA GAMALY, *et al.*, "Mechanism of carbon nanotube formation in the arc discharge," *Physical Review B*, Volume 52, Number 3, July 15, 1995-1, pp. 2083-2089.
- ✓ ARA GE, *et al.*, "Scanning tunneling microscopy of single-shell nanotubes of carbon," *Appl. Phys. Lett.*, Volume 65(18), October 31, 1994, pp. 2284-2286.

Examiner:

Date Considered:

Hendrickson

8/3/04

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